

Fig_1

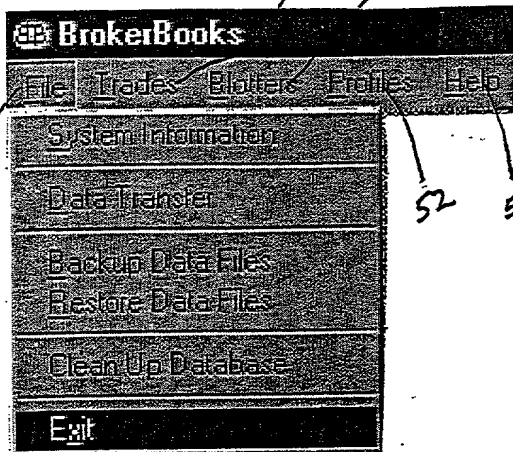


FIGURE 2A



FIGURE 2B

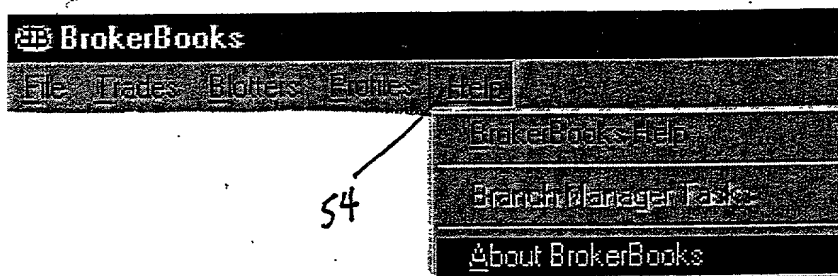


FIGURE 2E

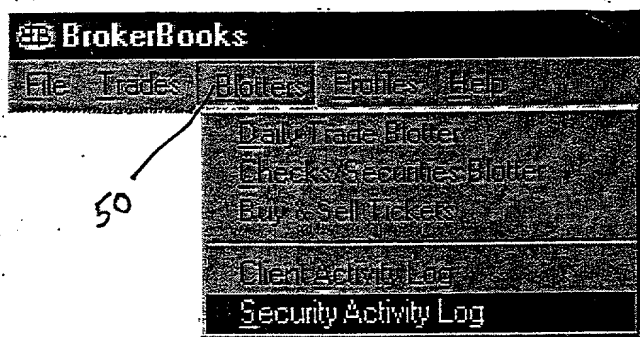


FIGURE 2C

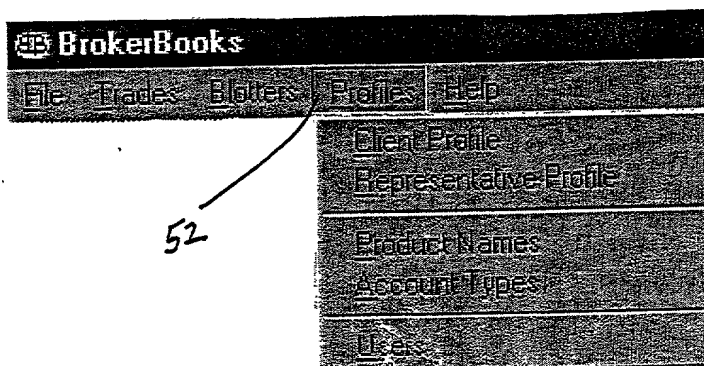


FIGURE 2D

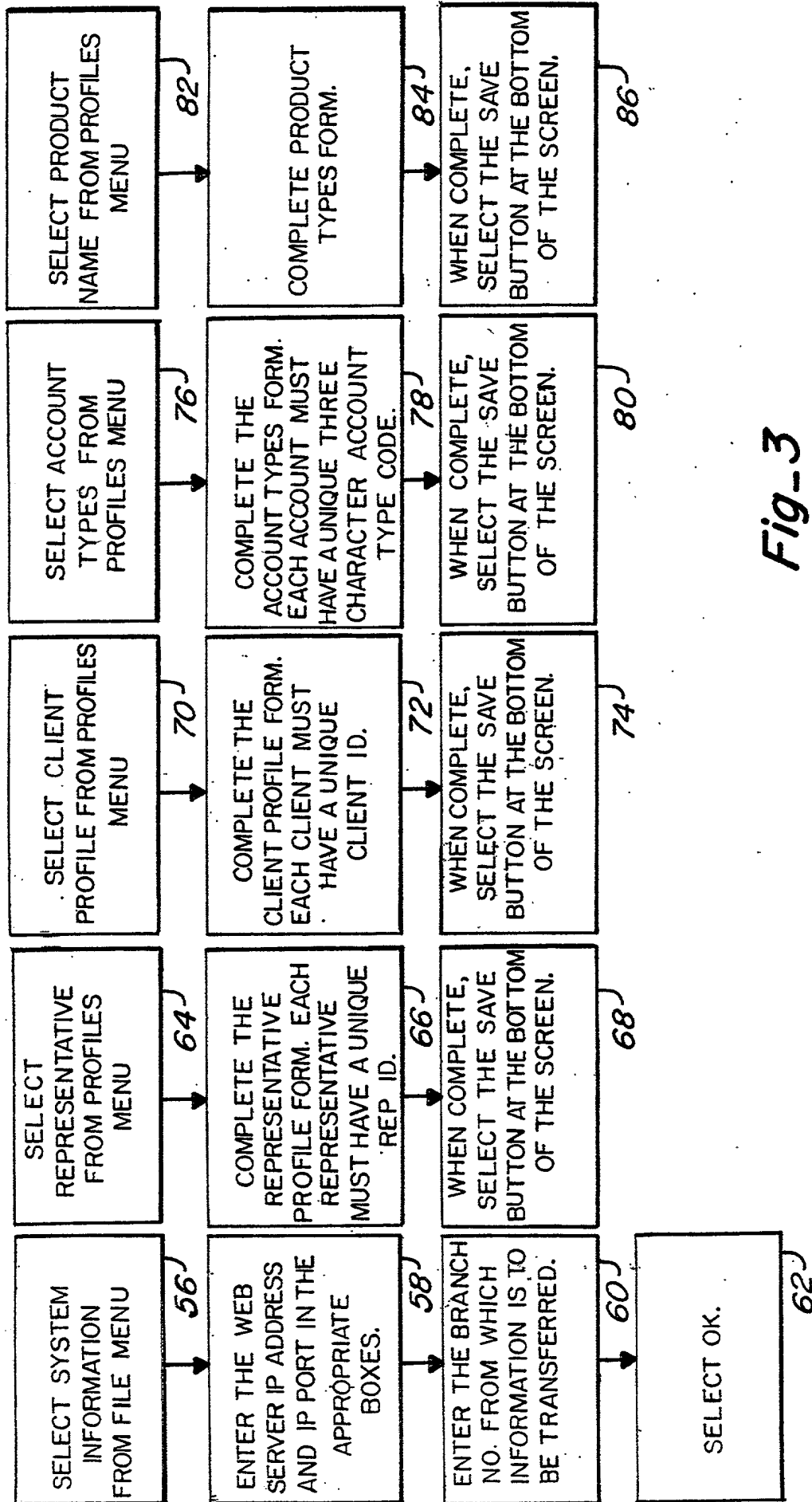
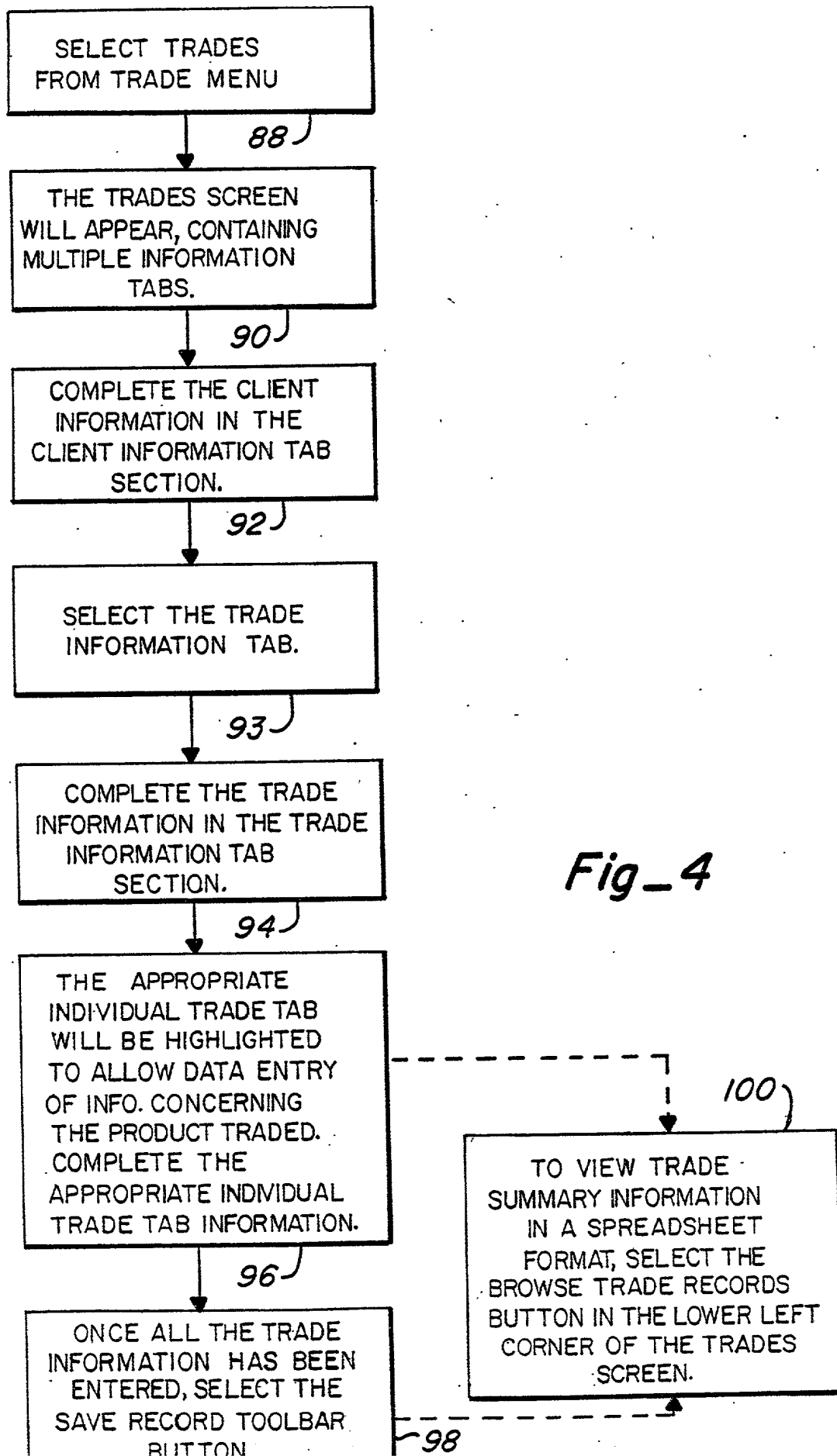


Fig-3



Fig_4

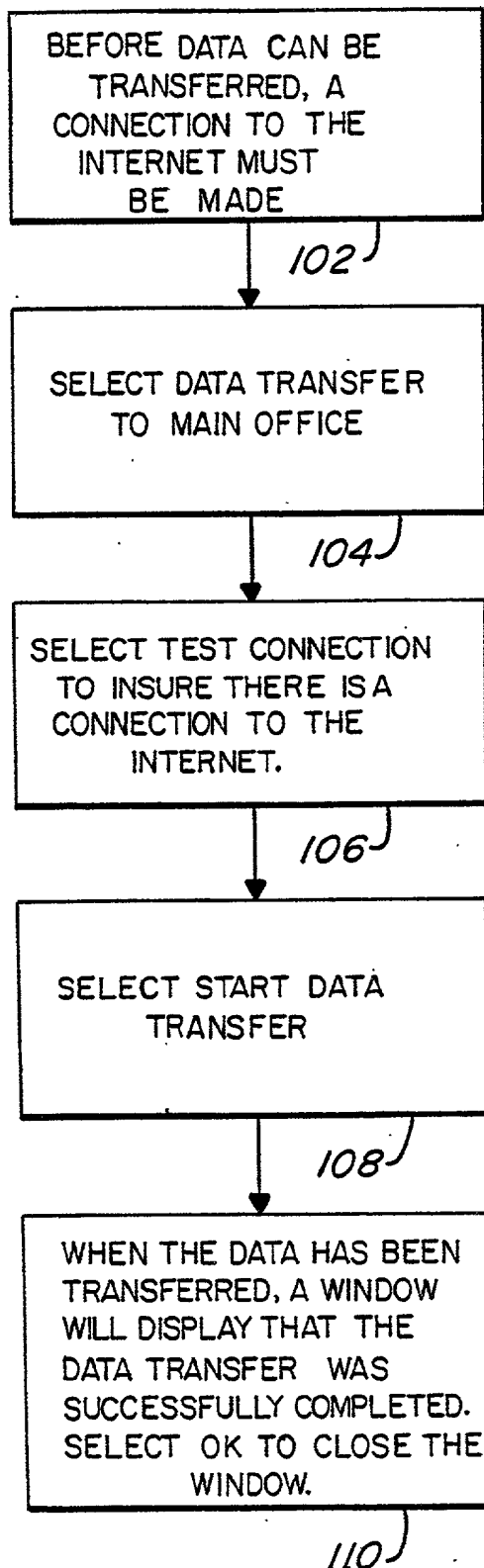


Fig-5

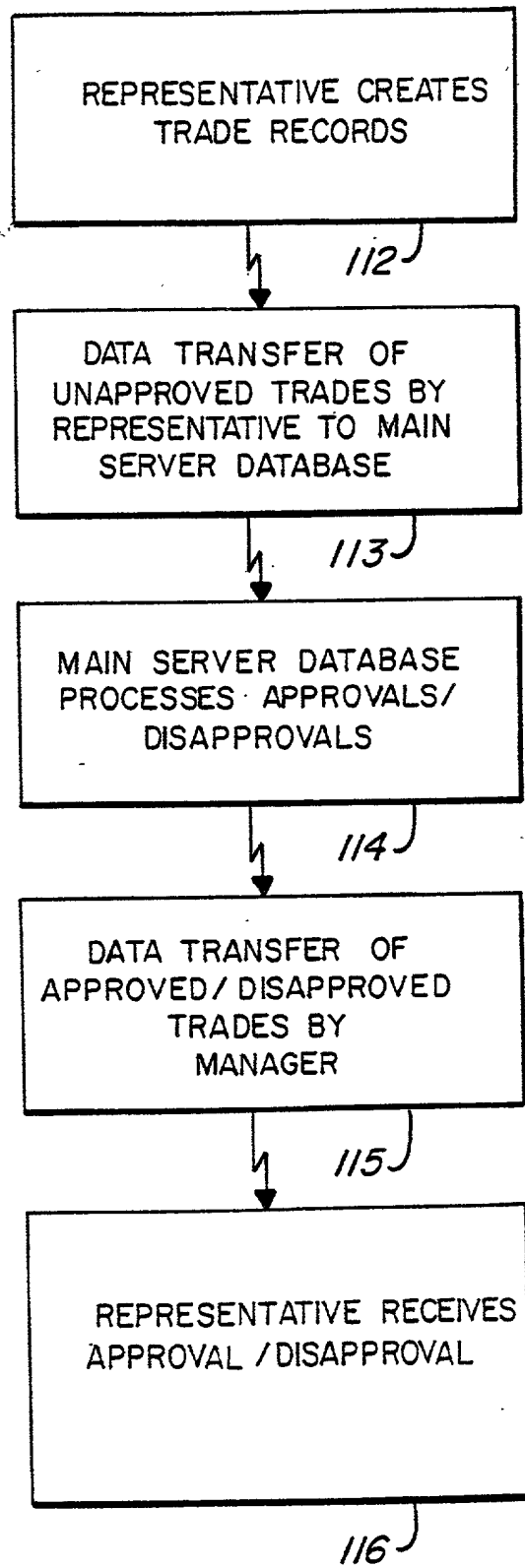
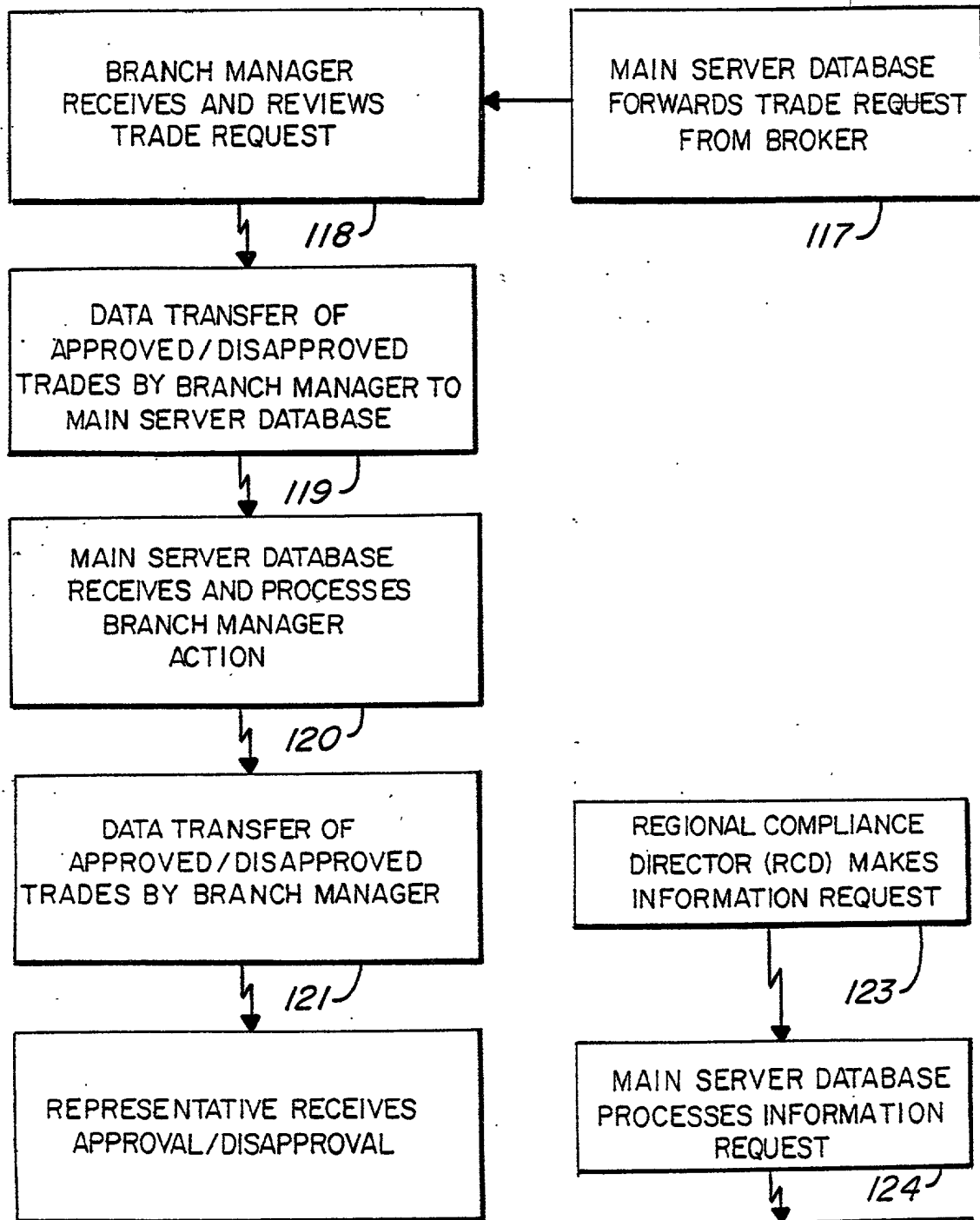


Fig-6



Fig_7

Fig_8

System Information		Preferences
Company Name	ACME Supply Company	
System ID	7500	
License Number	110-105-6598	
Maintenance Number	110-105-6598	
Install Date	Friday, July 09, 1999, 3:45:11 PM	
Expiration Date	Saturday, July 01, 2000, 12:00:00 AM	
DBMS Type	LOCAL	
Database Path	C:\BROKERBOOKS\DATA\	
WEB Server IP Address	0.0.0.0	
WEB Server IP Port	855	
Branch No.		

FIGURE 9

Trades

128

Client Info

Trader Info

Stock & Bond Info

Mutual Fund Info

Option Info

Variable

Taylor, John

Trade Category

Stocks & Bonds

Options

Variable

Trade Action

Buy

Sell

Trade Type

Solicited

Unsolicited

Product Name

Gold Models

Qty Traded

40.0000

Share/NAV Price

80.0000

Executed Price

Time Received

06/01/1999 12:00 AM

Time Phoned

06/02/1999 12:00 AM

Settlement Date

11

Order Placed With

Susan

Order Placed By

Barry

Check Amt

490.00

Check No

9876

Check Received

06/02/1999

Amount Applied

490.00

Date Sent

06/01/1999

Sent To

Acorn

CUSIP No

Cert No

Investment Objectives for this trade (Check all that apply)

Long Term Capital Appreciation

Aggressive Growth

Balance Growth with Income

Income

Safety

Speculative/High Risk

High Risk % of Capital

Other

Branch Approval

11

12

13

14

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99

100

FIGURE 11

Trades

Client Info **Trade Info** **Stock & Bond Info** **Mutual Fund Info** **Options Info** **Variable** Taylor, John

Order Type ☒ Long ☐ Short
☒ Market ☐ Limit ☐ Stop ☐ Stop Limit

Account Type ☒ Cash ☐ Margin ☐ Short ☐ DVP

Security Location

Stop/Limit Price

Duration Add Order Data Commission
RTE MLT COM

FIGURE 12

Client Info

Trade Info

Stock & Bond Info

Mutual Fund Info

Option Info

Variable

Taylor, John

Mutual Fund Account No.

5657

LOI

ROA

154

FOI b5 b7C b7E

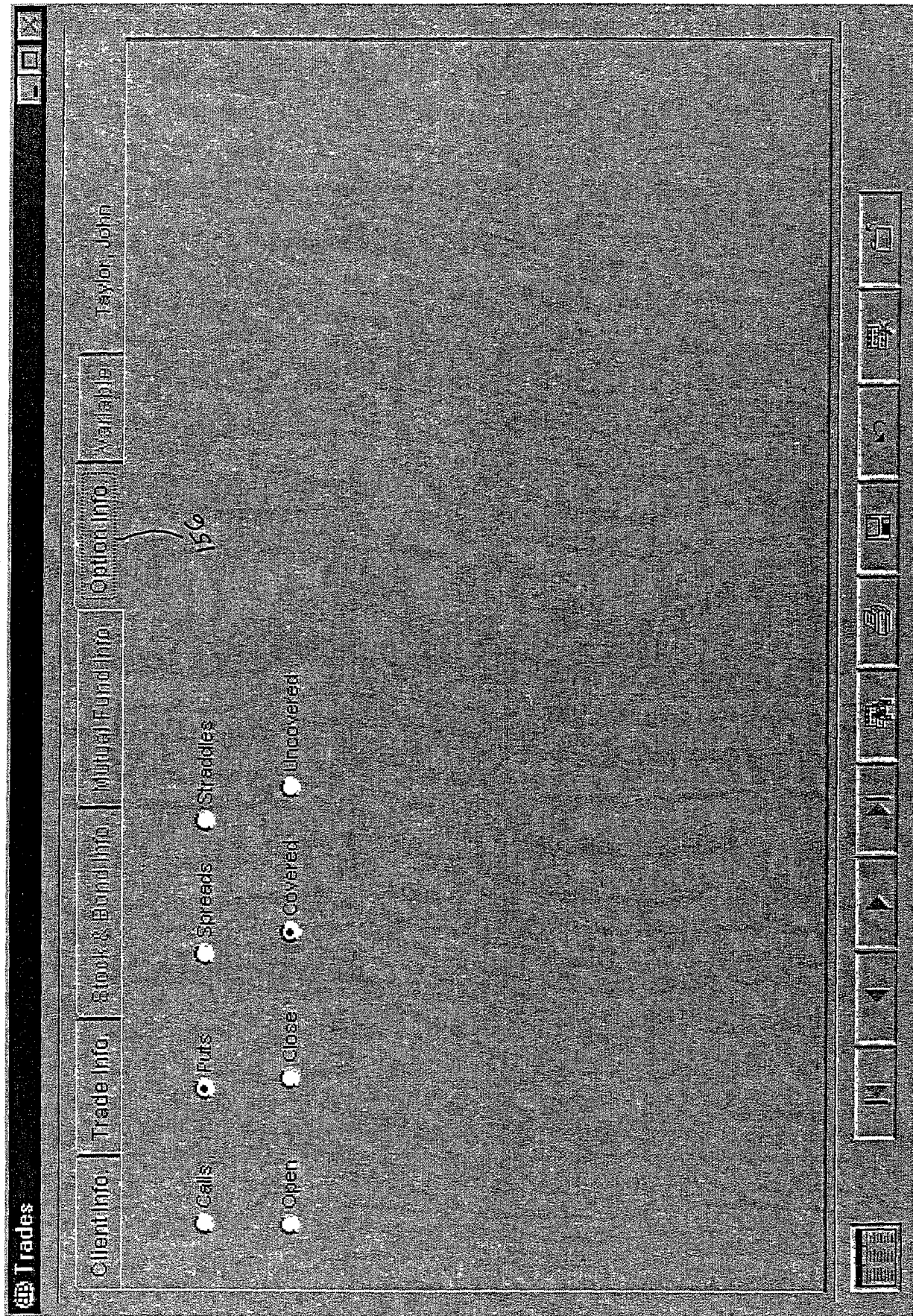


FIGURE 14

Trades

Client Info

Trade Info

Stock & Bond Info

Mutual Fund Info

Option Info

Variable

Taylor John

Variable

Life

Annuit

566

1,230

1035 Exchange

1035 Approximate Amount

158

Face Amount

Modal Premium

Lump Sum

1035 Exchange

1035 Approximate Amount

1035 Exchange

1035 Approximate Amount

FIGURE 15

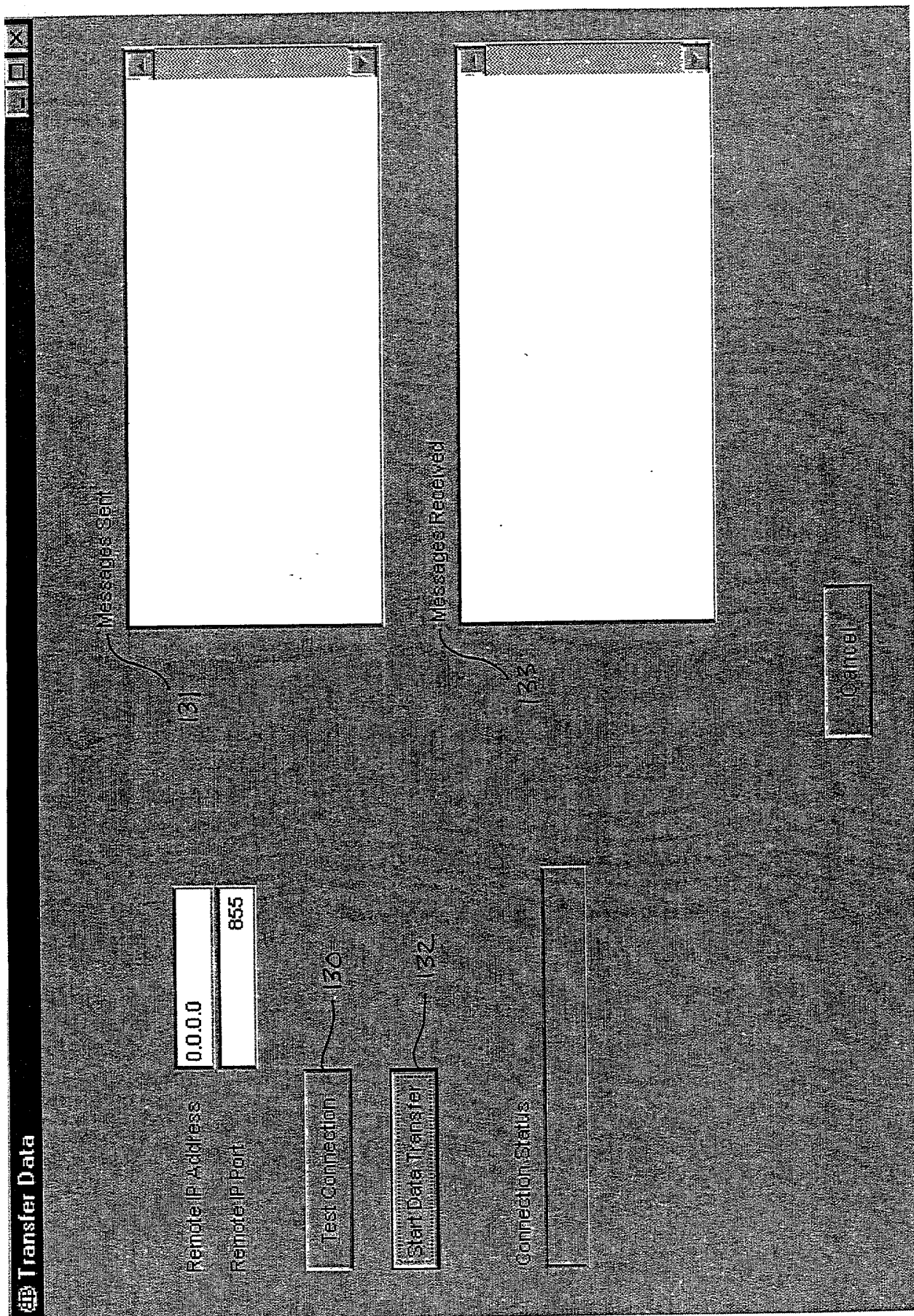


FIGURE 16

Trades - Press Escape key or click outside of window to exit

System ID	Record ID	Activity Date/Time	Client Name
7500	1	05/03/1999 09:31:30 AM	Barber, Floyd
7500	9	06/02/1999 12:35:51 PM	Doe, John
7500	162-164	08/04/1999 02:01:25 PM	Moore, Ryan
7500	2	05/03/1999 09:32:47 AM	Pyle, Gomer
7500	11	06/08/1999 08:58:27 AM	Smith, Jane
7500	12	06/08/1999 09:16:20 AM	Smith, Jane
7500	15	07/09/1999 04:24:49 PM	Smith, Jane
7500	4	05/03/1999 09:34:32 AM	Taylor, Andy
7500	3	05/03/1999 09:33:34 AM	Taylor, John
7500	5	05/04/1999 07:50:15 AM	Taylor, John
7500	10	06/08/1999 08:52:47 AM	Taylor, John
7500	13	06/09/1999 08:32:42 AM	Taylor, John

FIGURE 17

10150 93625360

Date	Client Name	Account Number	Buy Sell	Qty Traded	Product	Price	Exec Price	\$ Amt.	Rep No.	Initials
12/28/99	Smith, Jane	#7	Buy	750.0000	Gold Models	860.0000	0.0000	0.00	4000	
12/28/99	Doe, John	#5	Buy	0.0000	Caesar Marketing	0.0000	0.0000	0.00	2000	
12/28/99	Taylor, John	#1	Sell	0.0000	MGM Grand Hotel	0.0000	0.0000	0.00	3000	
12/28/99	Taylor, John	#2	Buy	0.0000	Deluxe Travel Systems	0.0000	0.0000	5,000.00	4000	
12/28/99	Taylor, John	#2	Buy	0.0000	Caesar Marketing	0.0000	0.0000	0.00	4000	
12/28/99	Doe, John	#5	Buy	0.0000	Deluxe Travel Systems	0.0000	0.0000	2,500.00	4000	
12/28/99	Taylor, John	#2	Buy	50.0000	Deluxe Travel Systems	300.0000	0.0000	0.00	2000	
12/28/99	Smith, Jane	#7	Buy	5.0000	MGM Grand Hotel	12.0000	0.0000	0.00	3000	
12/28/99	Smith, Jane	#7	Buy	5.0000	MGM Grand Hotel	40.0000	0.0000	4,500.00	4000	
12/28/99	Taylor, John	#2	Sell	40.0000	Gold Models	80.0000	0.0000	490.00	4000	
12/28/99	Smith, Jane	#7	Buy	0.0000	Caesar Marketing	0.0000	0.0000	0.00	3000	

FIGURE 18

TOTSO* 9865860

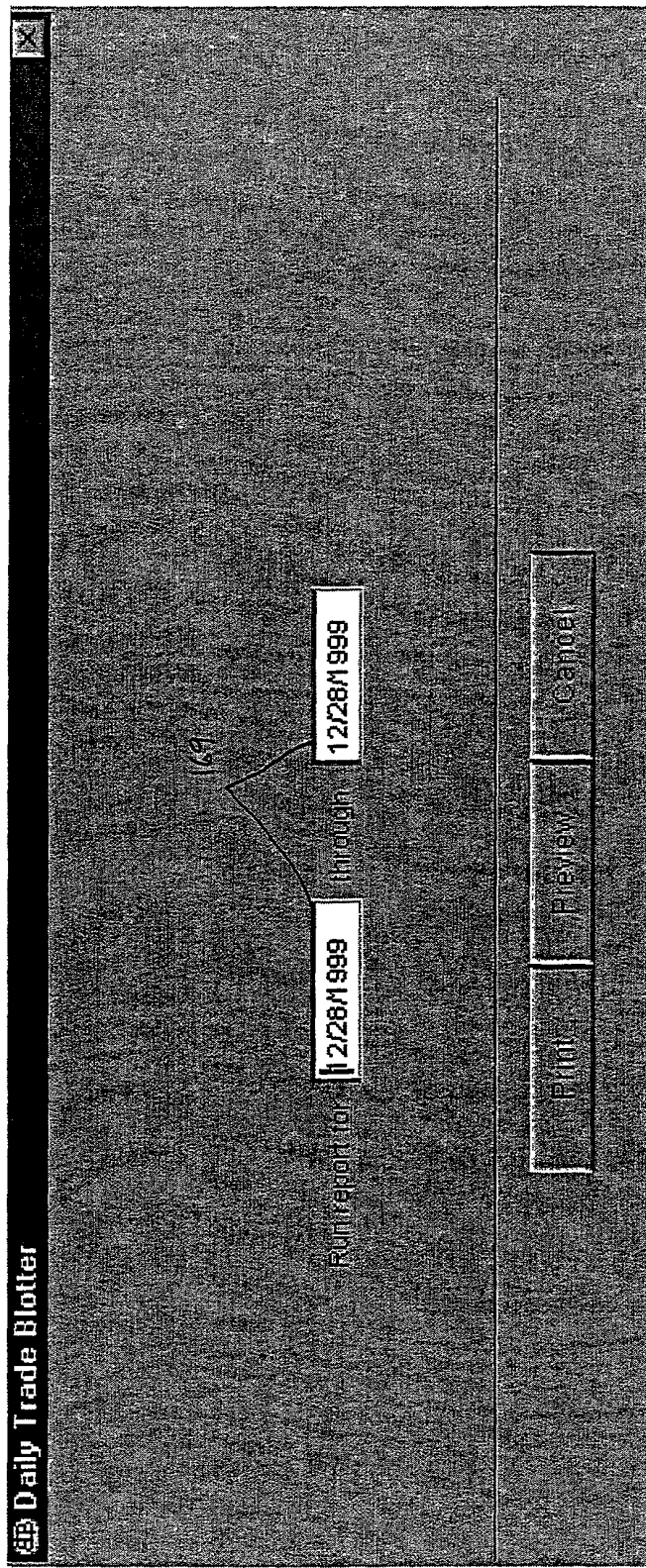


FIGURE 19

TOP SECRET

Ck Rec'd	Name	Description	Check No.	/ CUSIP No.	Qty	Sent To	Date Sent	Rep No.	Initials
05/02/1999	Taylor, John	Deluxe Travel Systems	2345	/	0.0000	John Doe	05/03/1999	4000	
06/01/1999	Smith, Jane	MGM Grand Hotel	6657	/ 4775	5.0000	Mary Scott	06/02/1999	4000	
06/01/1999	Doe, John	Deluxe Travel Systems	6657	/	0.0000	Brokers Ltd.	06/02/1999	4000	
06/02/1999	Taylor, John	Gold Models	9876	/	40.0000	Acorn	06/01/1999	4000	

FIGURE 20

5:51 AM

112 → BUY & SELL TICKET

	Short/Long Long	Day/Open/Market Market	Activity date 05/03/1999 09:31 AM	Settlement date / /
750.0000	Symbol GMB	Limit amount 0.00	Execute price 0.0000	Security location
Description Gold Models				
Smith, Jane				Account # #7
pe Cash				
4000		Brokeracct	Solicited	Unsolicited
Received from client 04/29/1999 09:00 AM			Time phoned 04/30/1999 12:00 AM	
id with Jane			by Mary	
n RTE 0.00		MLT 0.00	COM 0.00	

Options

Calls/Puts/Spreads/Straddles	Calls
Open/Close/Covered/Uncovered	Open

Mutual Funds

Acct# 5634	LOI 0	ROA 0
-------------------	--------------	--------------

FIGURE 21

TOP SECRET 332530

		Company Name
S berry Lane ove, IL 47788-		Joint Account Name Pyle, Glenda
Phone 775	Business Phone	

t	Account Type	Date	Bought		Sold		
			Qty	Price	Qty	Price	
marketing	Trust	05/03/1999					
vel Systems	Trust	08/02/1999					

FIGURE 22

TOP SECRET

ty Name Gold Models

Name	Qty Traded	Activity Date	Price
ohn	40.0000	06/09/1999 08:32 AM	80.0000
ane	750.0000	05/03/1999 09:31 AM	860.0000

FIGURE 23

T0150" 53625360

Client Profile

Creation Date
180

Last Name
180

Company
180

Address 1
180

Address 2
180

Address 3
180

City
180

Country
180

Home Phone
180

Annual Income
180

Brokerage No.
180

Joint Last Name
180

Investment Objectives (Check all that apply)

☐ Long Term Capital Appreciation

☐ Aggressive Growth

☒ Balance Growth with Income

☒ Income

☒ Safety

☐ Speculative High Risk

Other

05/03/1999

Client ID
649

First Name
John

Soc. Sec. No.
466-36-2286

85776 Mulberry Lane

Walnut Grove

State
IL

Zip Code
47788-

614-988-3775

130,000

Joint First Name
Glenda

Investment Objectives (Check all that apply)

☐ Long Term Capital Appreciation

☐ Aggressive Growth

☒ Balance Growth with Income

☒ Income

☒ Safety

☐ Speculative High Risk

Other

649

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☒ Balance Growth with Income

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☐ Aggressive Growth

☒ Balance Growth with Income

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☒ Safety

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Investment Objectives (Check all that apply)

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614-988-3775

130,000

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Glenda

Investment Objectives (Check all that apply)

☐ Long Term Capital Appreciation

☐ Aggressive Growth

☒ Balance Growth with Income

☒ Income

☒ Safety

☐ Speculative High Risk

Representative Profile

Rep ID: 66
 Last Name: 198
 Address 1: 200
 Address 2:
 Address 3:
 City:
 Country: 202
 Work Phone:
 E-mail Address:
 Office Name:
 Branch Office:
 OSU Office: 206

☒ Registered Investment Advisor

First Name: James
 Middle Name:

4000
 Curtis
 91 Dogwood Drive
 Leadville
 303-956-2219
 scurtis@aol.com
 Pine Branch

State: CO
 Zip Code: 81123-

Home Phone: 303-775-8842

Office E-mail:

Branch No: 200

Enter additional license information:

- ☒ Series 63
- ☐ Series 6
- ☐ Series 7
- ☐ Series 24
- ☐ Series 26
- ☐ Series 65
- ☐ Insurance



FIGURE 25

208

Users

User ID	210
User First Name	212
User Middle Name	214
User Last Name	214
User Level	214
Password	216

administrator
Barry
Taylor
User
shadow

Navigation icons: back, forward, search, etc.

FIGURE 26

210

BrokerBooks Trade Audit Report

<u>System ID.</u>	<u>Record ID.</u>	<u>User ID.</u>	<u>Password</u>	<u>Change Date/Time</u>
1000	1	JohnB	Books	06/16/1999 12:01:49

Changes:

Old: Product Name: **Best Funds**
New: Product Name: **Enterprise Funds**

<u>System ID.</u>	<u>Record ID.</u>	<u>User ID.</u>	<u>Password</u>	<u>Change Date/Time</u>
1000	1	JohnB	Books	06/17/1999 11:41:35

Changes:

Old: Share/NAV Price: **\$ 100.00**
New: Share/NAV Price: **\$ 110.00**

<u>System ID.</u>	<u>Record ID.</u>	<u>User ID.</u>	<u>Password</u>	<u>Change Date/Time</u>
2430	13843	JackCL	PASS	06/16/1999 12:01:49

Changes:

Old: Qty. Traded: **150**
New: Qty. Traded: **250**

<u>System ID.</u>	<u>Record ID.</u>	<u>User ID.</u>	<u>Password</u>	<u>Change Date/Time</u>
45330	84453	10256	ABCFGH	06/16/1999 2:10:33


Changes:

Old: Stop Limit Price: **130**
New: Stop Limit Price: **165**

FIGURE 27

TOP SECRET - 64101

211

 **Audit Report**

Rep Name:

Run report for: Through:

Specific Branch:

FIGURE 28

212 → LOGIN REPORT

LOGINTIME	SYSTEM ID	USER ID	PASSWORD	SUCCESS
05/03/1999 09:28:00	1000	administrator	password	Yes
05/03/1999 09:43:36	1003	administrator	shadow	Yes
05/03/1999 09:44:54	1002	administrator	password	No
05/03/1999 09:46:46	1002	administrator	hazel	Yes
05/03/1999 09:46:53	1002	administrator	password	Yes
05/03/1999 09:48:34	1001	administrator	gocart	No
05/03/1999 09:49:44	1001	administrator	holly	Yes
05/03/1999 09:50:15	1003	administrator	shadow	No
05/03/1999 09:50:52	1000	administrator	password	Yes
05/03/1999 09:51:48	1002	administrator	password	Yes
05/03/1999 10:00:32	1000	administrator	houston	Yes
05/03/1999 10:36:37	1000	administrator	password	Yes
05/03/1999 10:37:03	1000	administrator	password	Yes
05/03/1999 10:39:00	1000	administrator	password	No
05/03/1999 10:39:16	1000	administrator	houseton	Yes
05/03/1999 10:55:07	1000	administrator	houston	Yes
05/03/1999 10:55:20	1000	administrator	password	Yes
05/03/1999 10:55:47	1000	administrator	orange	Yes
05/03/1999 10:56:06	1000	administrator	password	Yes
05/03/1999 10:56:40	1000	administrator	password	No
05/03/1999 10:56:55	1000	administrator	password	Yes
05/03/1999 11:07:44	1001	administrator	holly	Yes
05/03/1999 11:08:05	1001	administrator	password	Yes
05/03/1999 11:12:47	1001	administrator	notebook	No
05/03/1999 11:14:43	1002	administrator	password	Yes
05/03/1999 11:15:15	1002	administrator	password	No
05/03/1999 11:15:54	1000	administrator	password	Yes
05/03/1999 11:19:05	1001	administrator	nottebook	No
05/03/1999 11:19:23	1001	administrator	notebook	Yes
05/03/1999 11:20:14	1001	administrator	password	Yes
06/15/1999 09:25:22	1841	administrator	password	No
06/15/1999 09:26:38	1841	administrator	shopping	Yes
06/15/1999 09:29:30	1841	administrator	password	No
06/15/1999 09:55:04	1841	administrator	mountains	Yes
06/15/1999 10:07:59	1841	administrator	password	No
06/15/1999 10:45:09	1000	manager1	password	No
06/15/1999 11:05:44	1000	manager1	password	Yes

FIGURE 29

00053986-051101

TOTF50" 986E586D

213

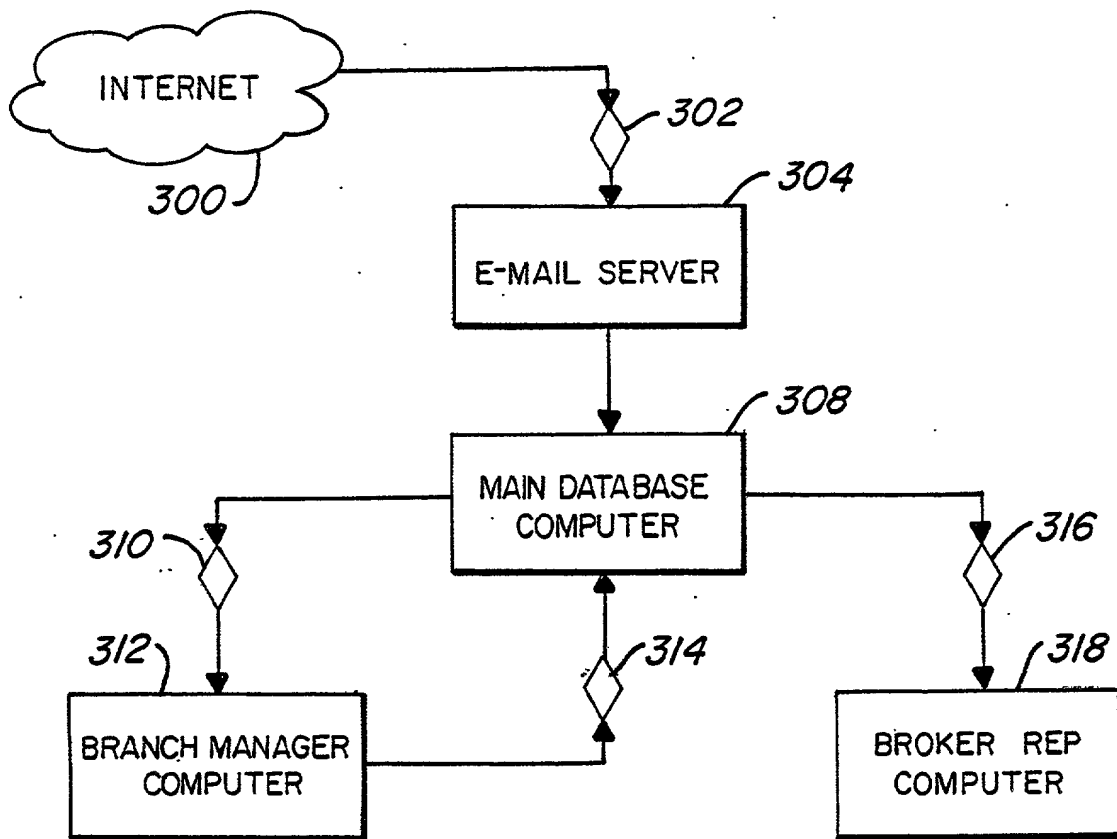
Logins Report

Rep Name:

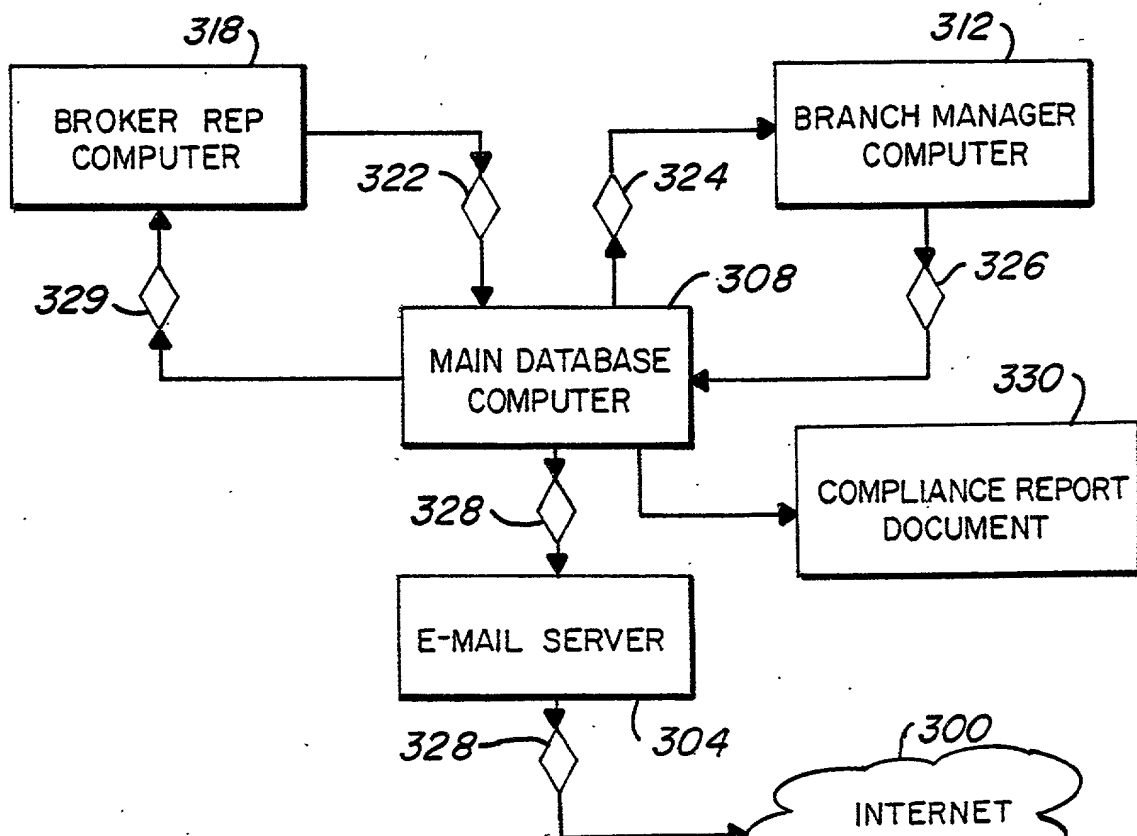
Run Report for: through

Specific Branch:

FIGURE 30



Fig_31



Fig_32

10750" 986E5860

330 332 334 336

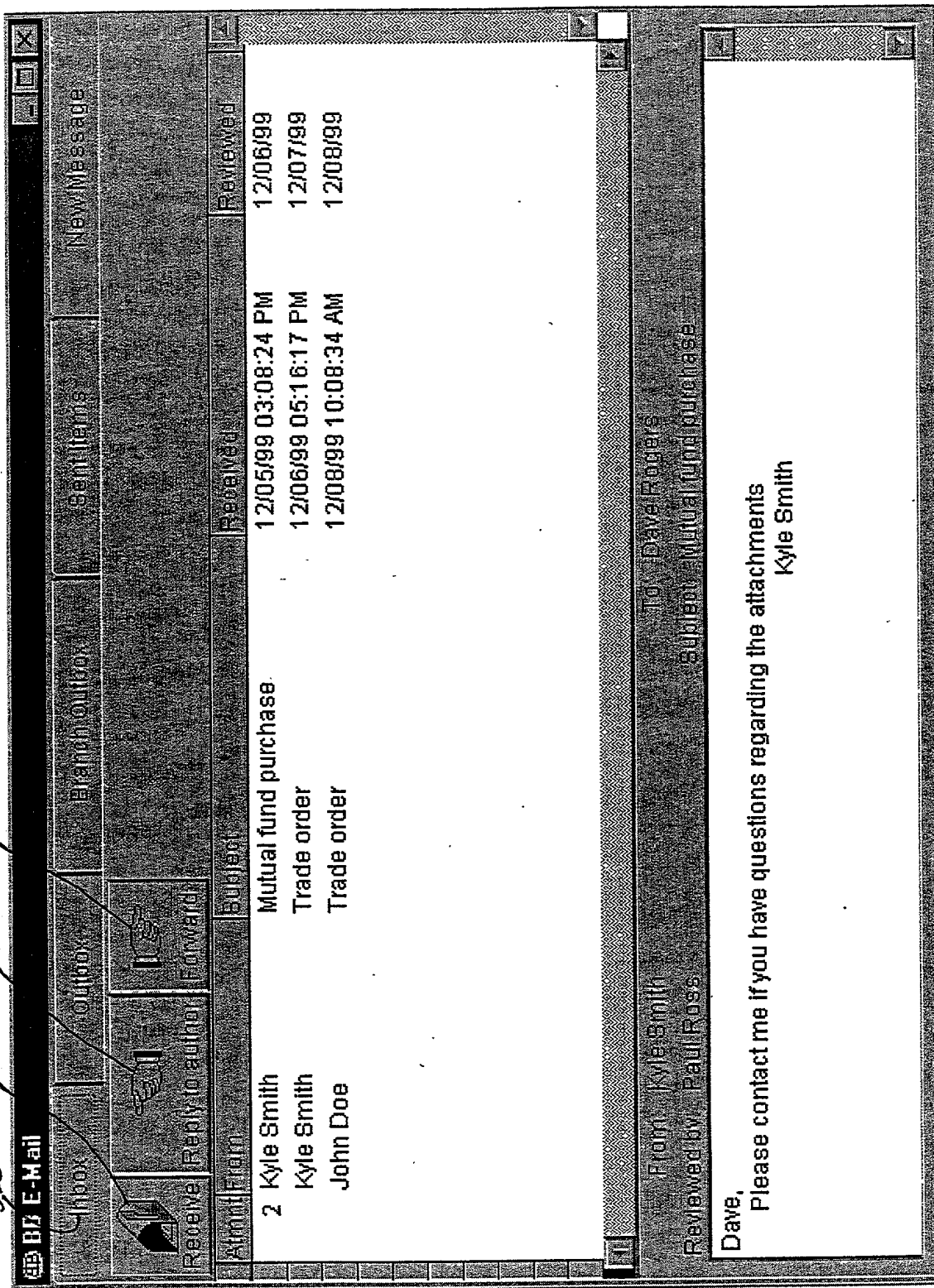


FIGURE 33

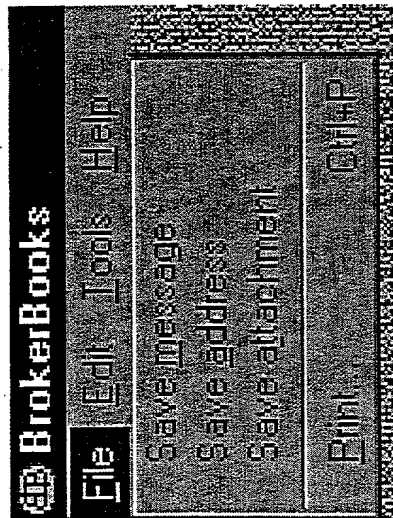


FIGURE 34

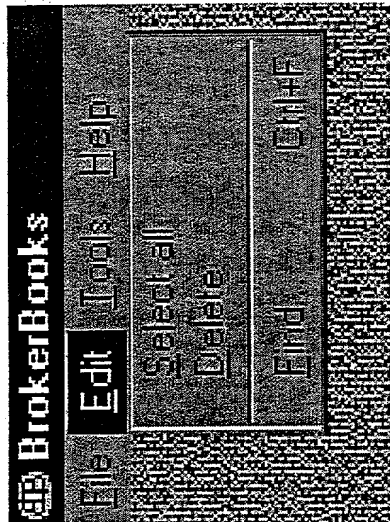


FIGURE 35

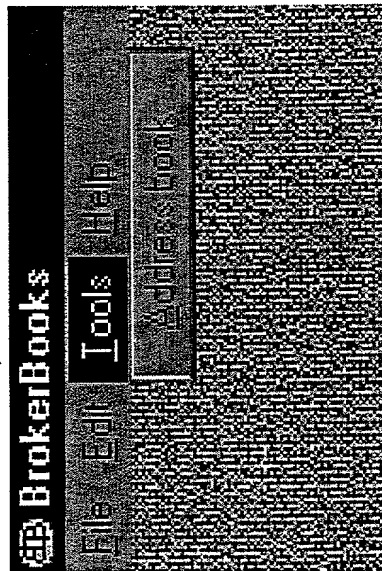


FIGURE 36

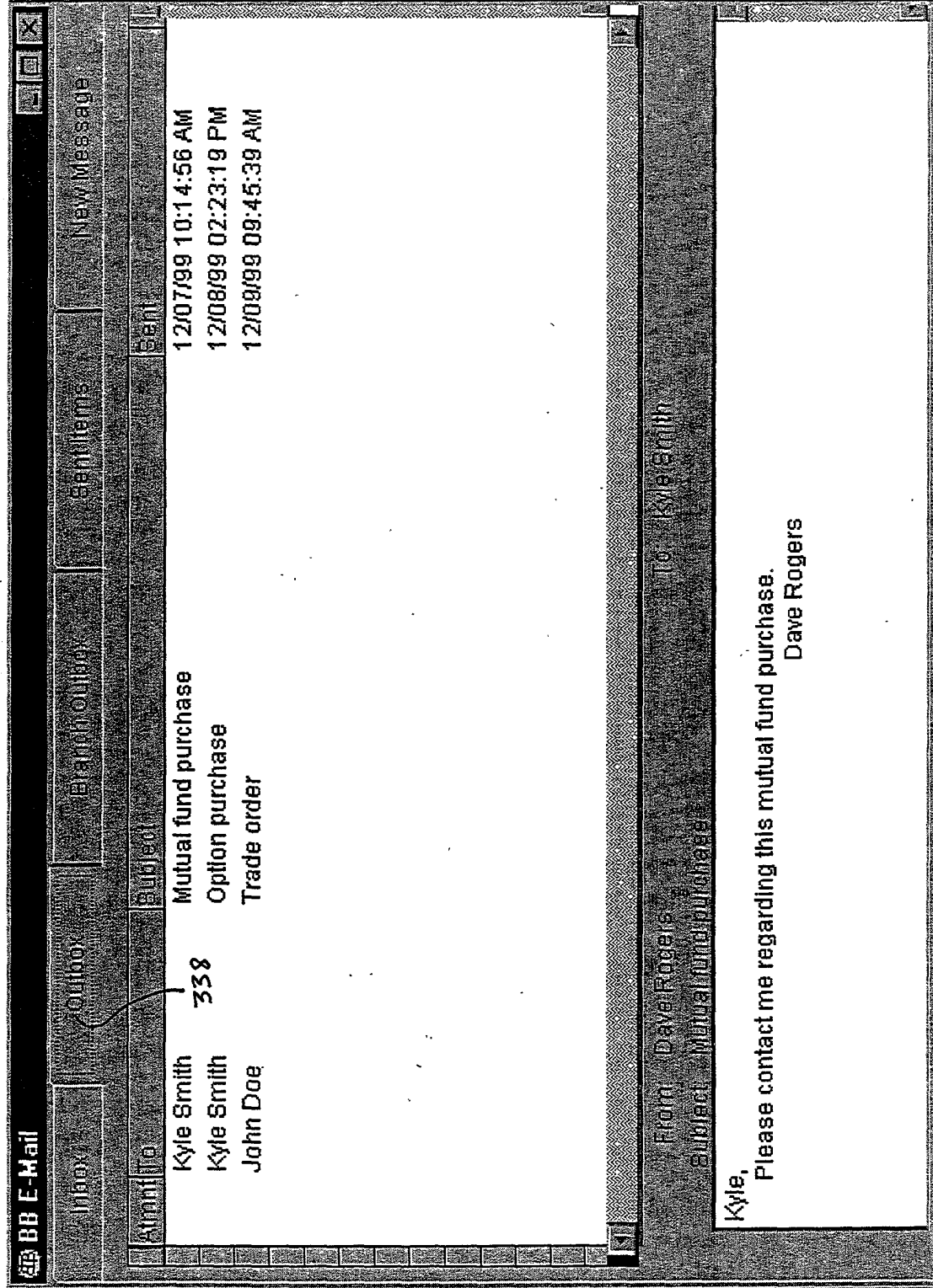


FIGURE 37

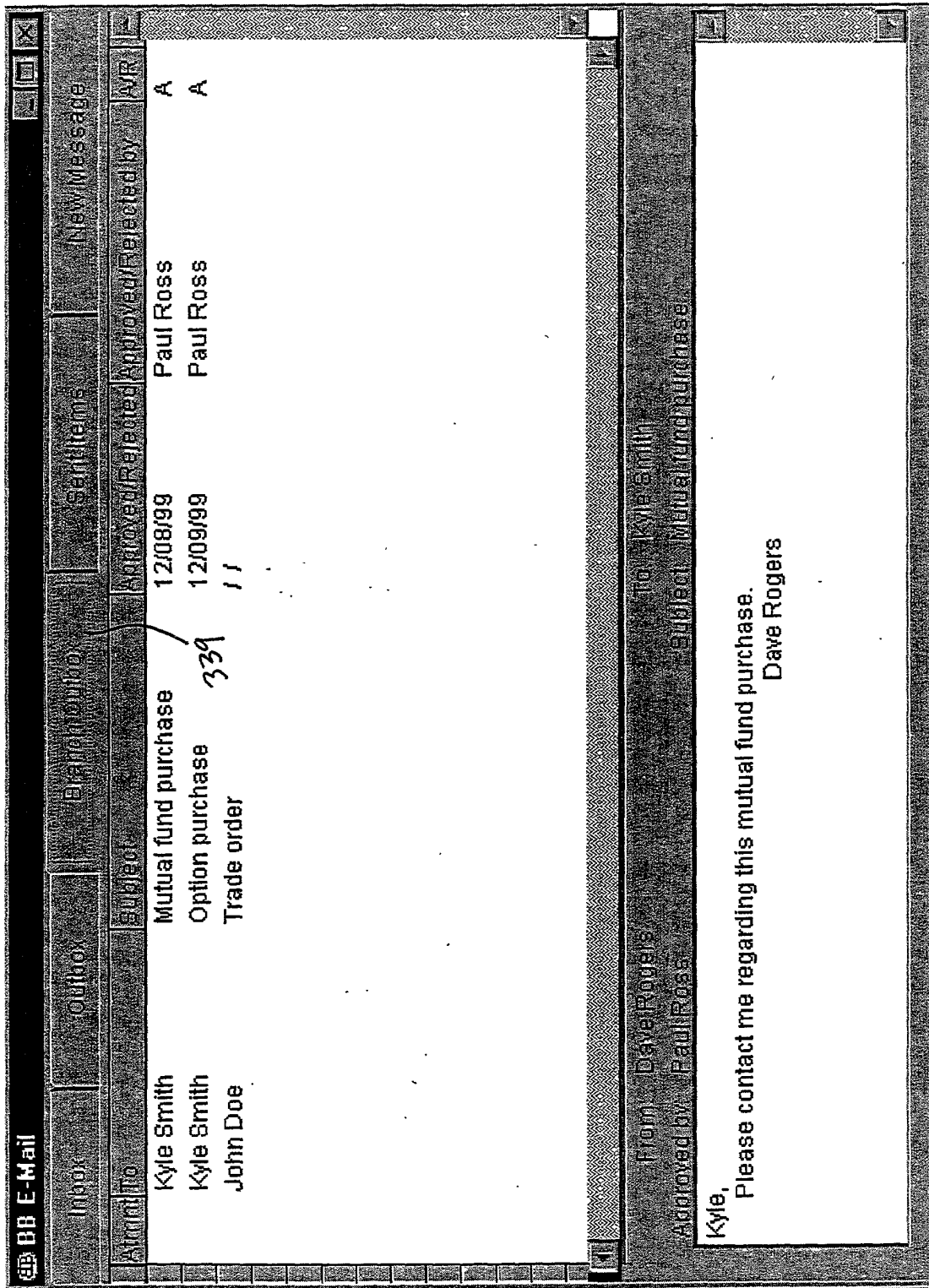


FIGURE 38

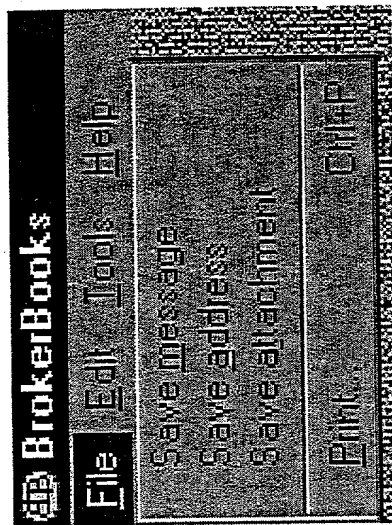


FIGURE 39

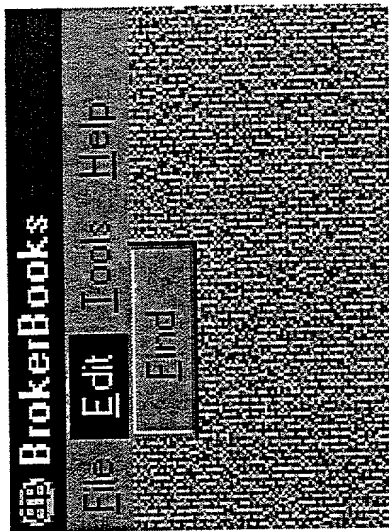


FIGURE 40

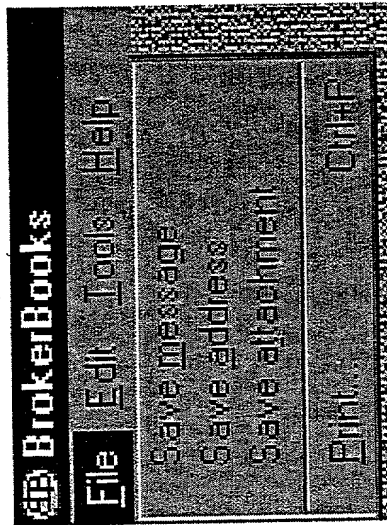


FIGURE 42

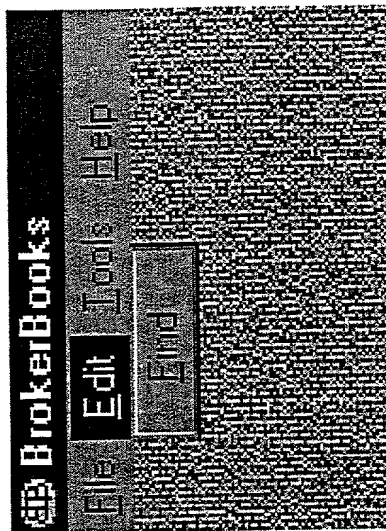


FIGURE 43

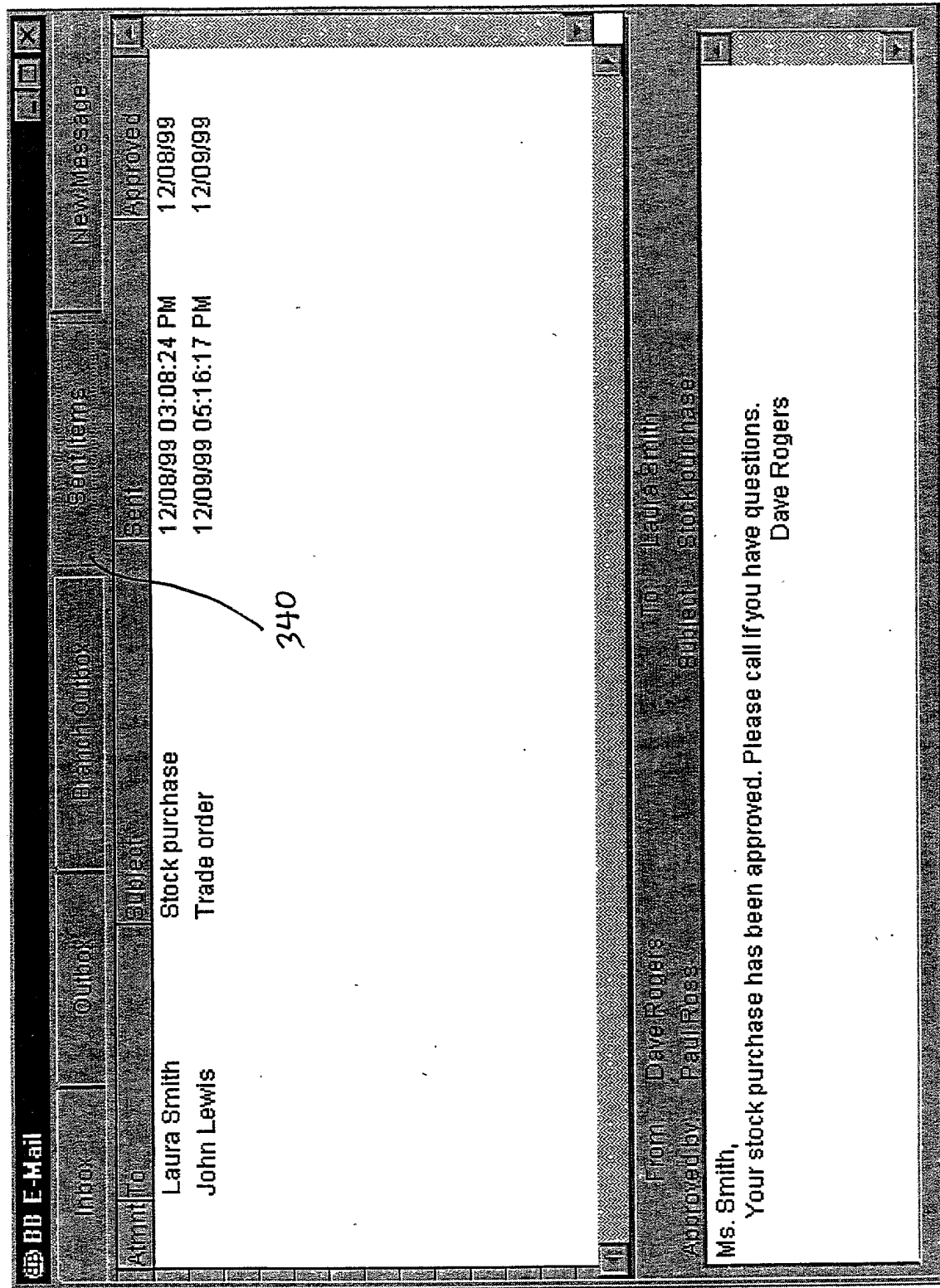


FIGURE 41

BB E-Mail

Inbox

346 Outbox

342 Sent Items

New Message

Send

Attach

Find Address

To

344

CC

BCC

Subject

Laura Smith

Trade Order

These are my recommendation for your securities purchases for 401K plan.
Dave Rogers

FIGURE 44

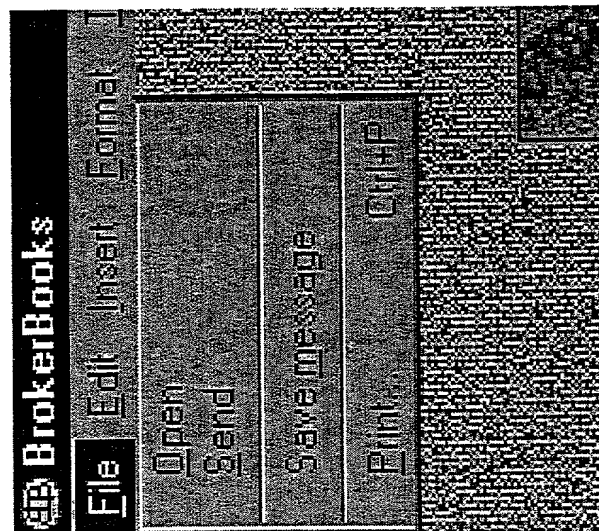


FIGURE 45

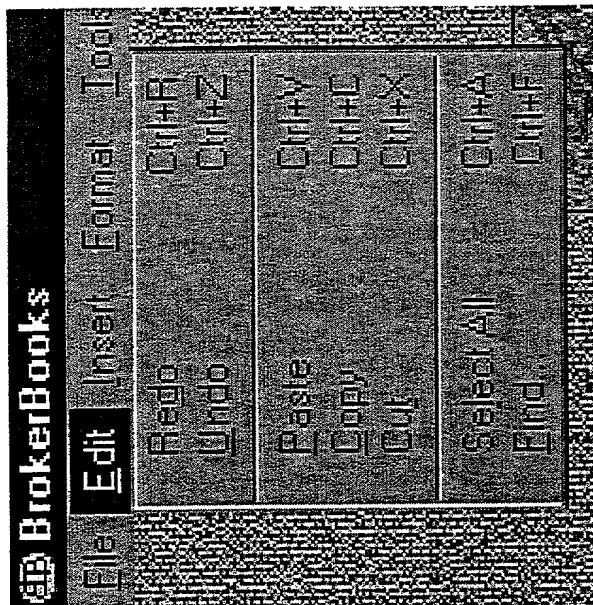


FIGURE 46

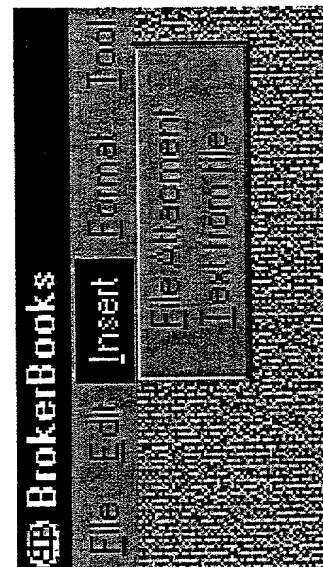


FIGURE 47

350

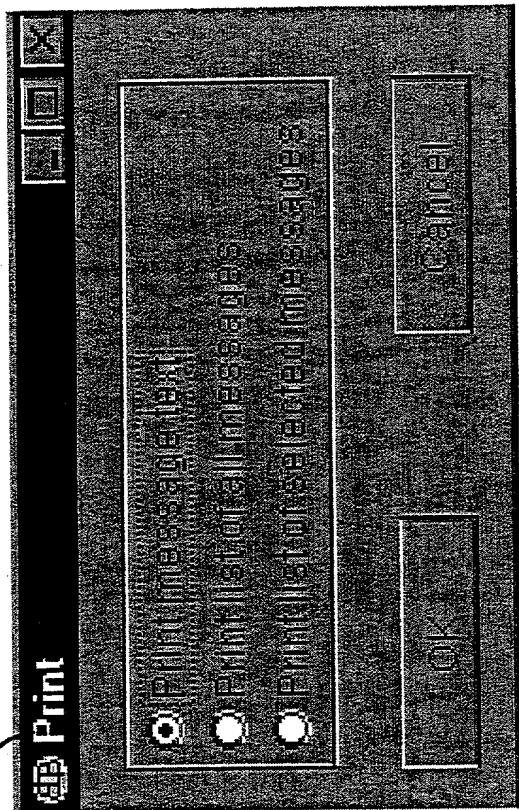


FIGURE 48

356 / 358 / 360 / 362 / 354

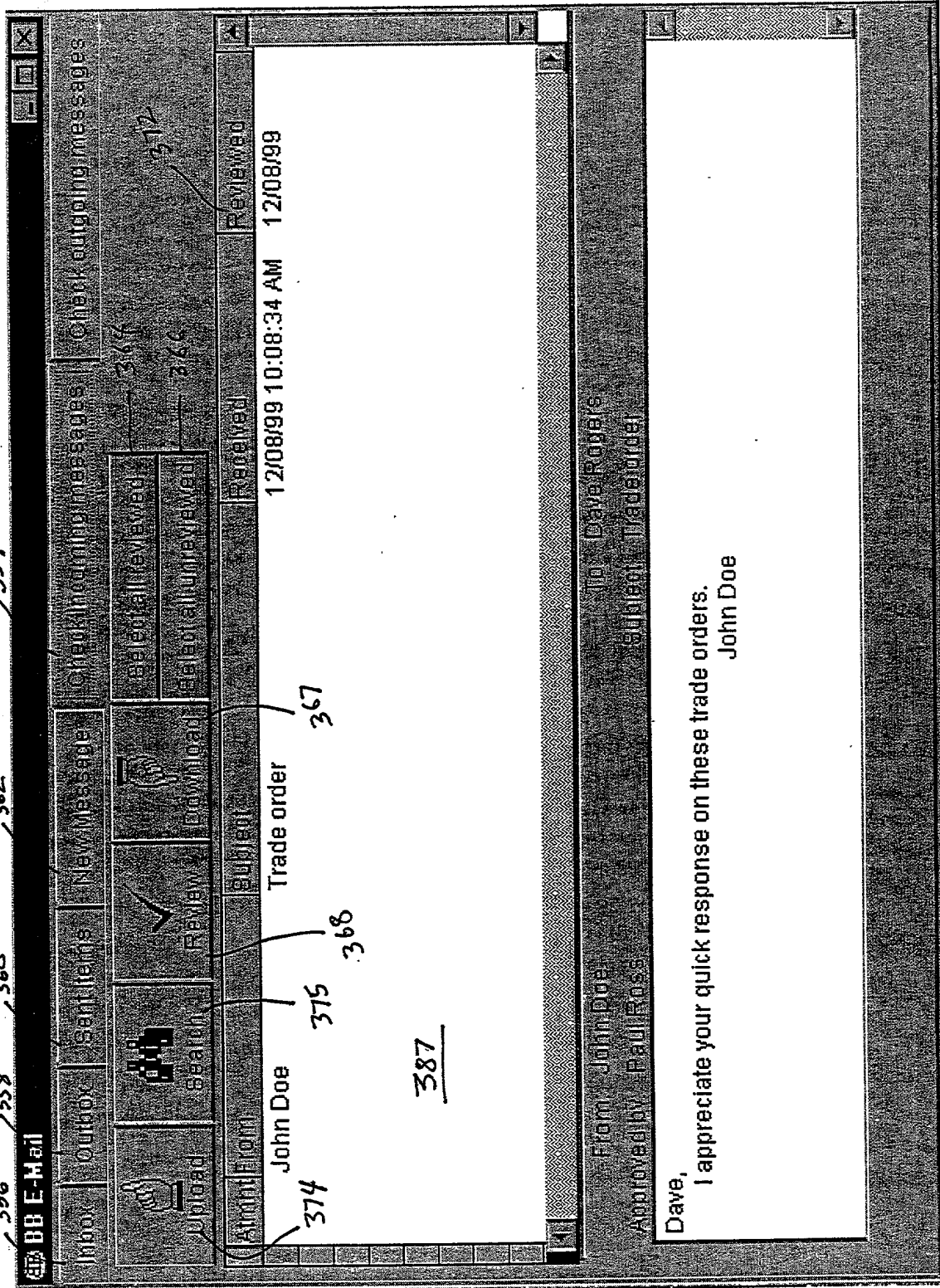


FIGURE 50

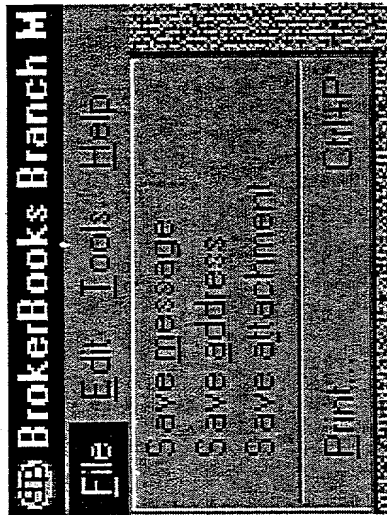


FIGURE 51

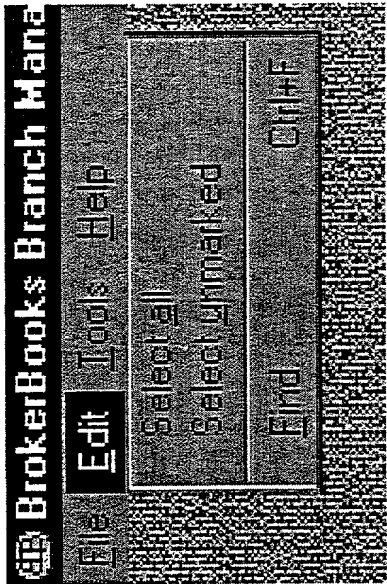


FIGURE 52

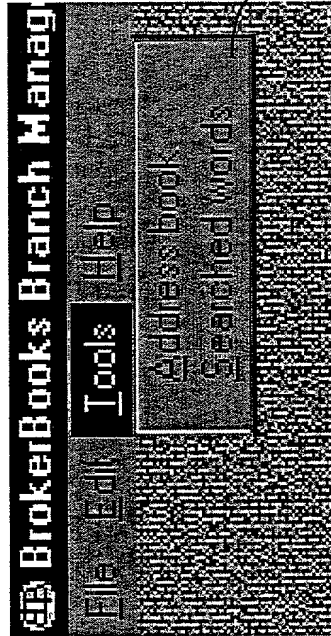


FIGURE 53

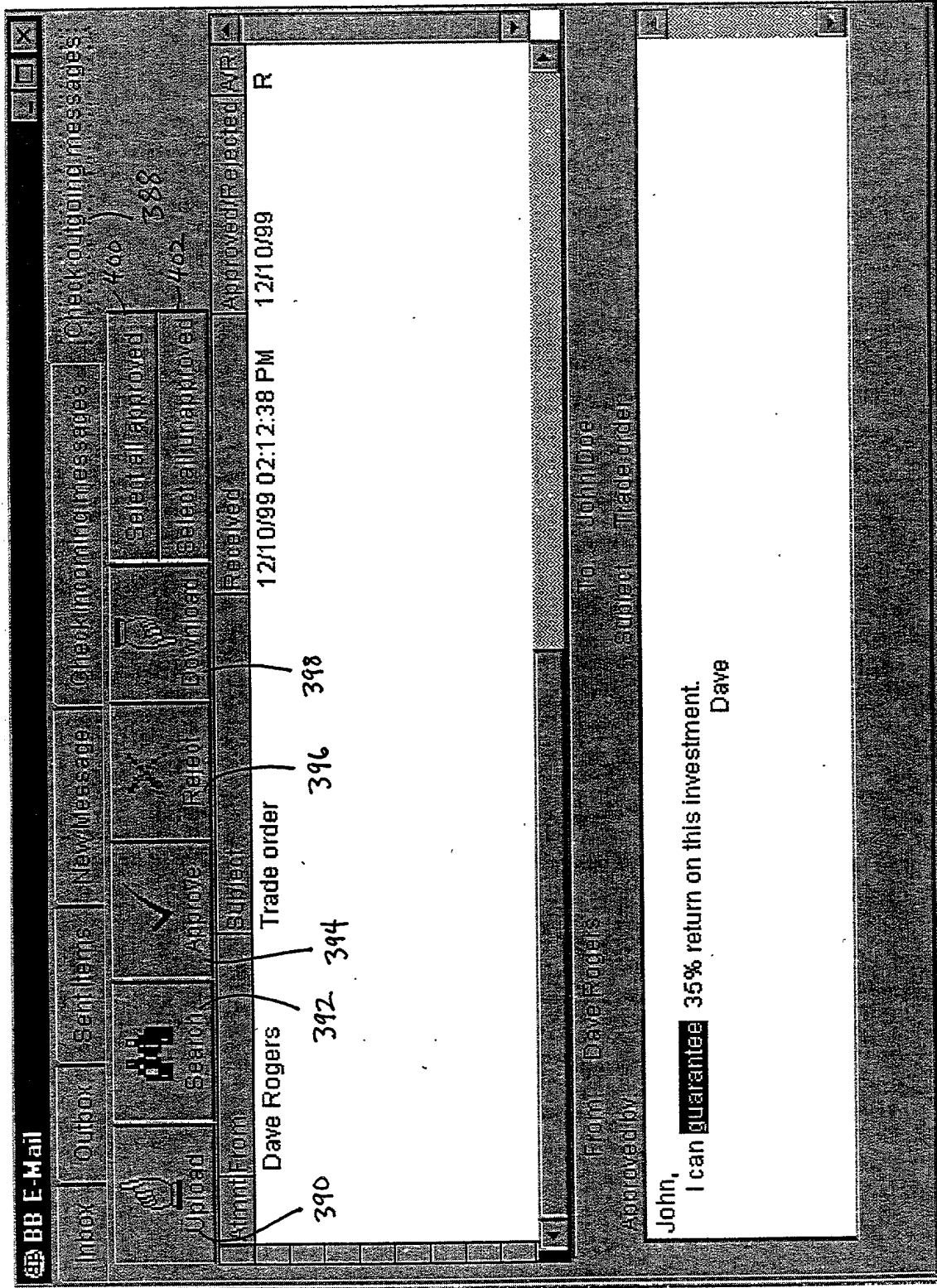


FIGURE 55

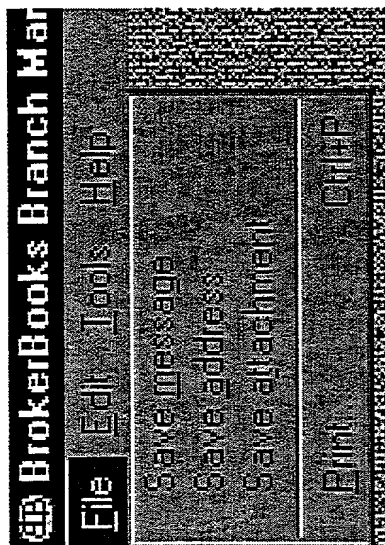


FIGURE 56

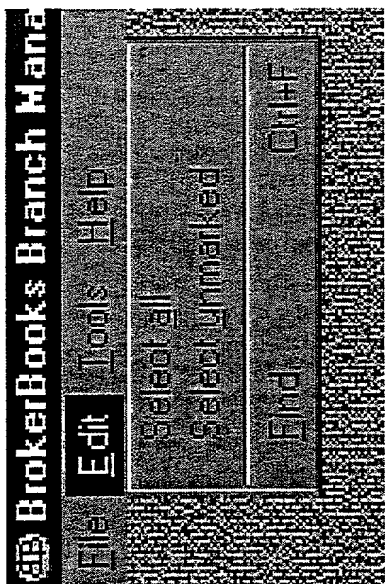


FIGURE 57

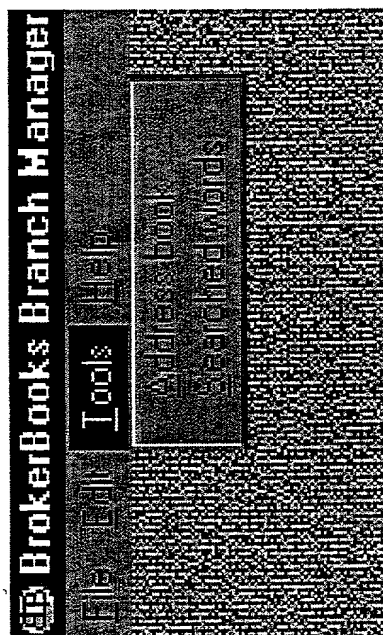


FIGURE 58

BB E-Mail

Inbox

Outbox

Sign Items

New Message

Check Incoming Messages

Check Outgoing Messages

Send

Attach

Full of Address

Approve

To

CC

BCC

Subject

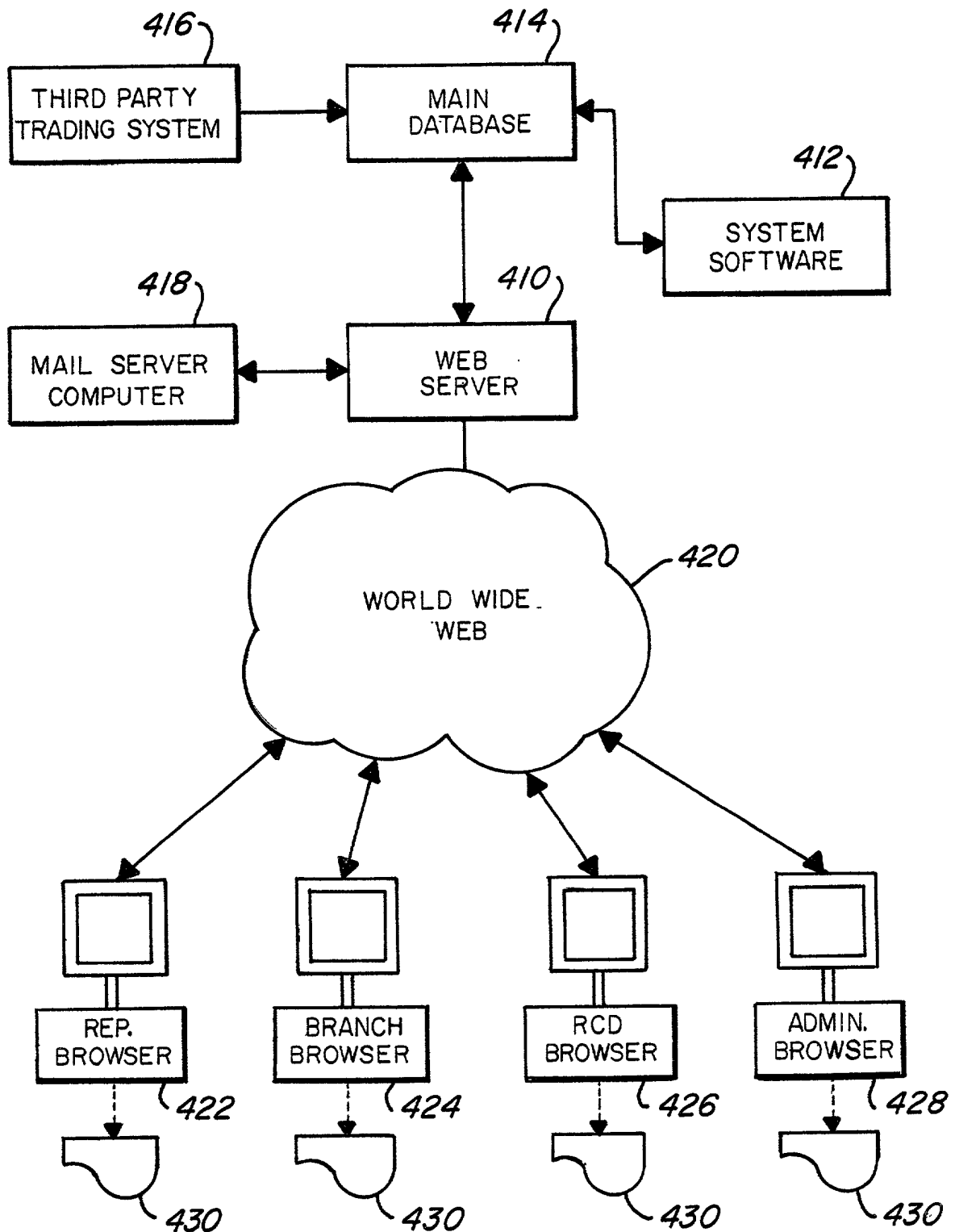
Mary Smith

Trade order

Ms. Smith,
Please contact me regarding the last trades.
Paul Ross

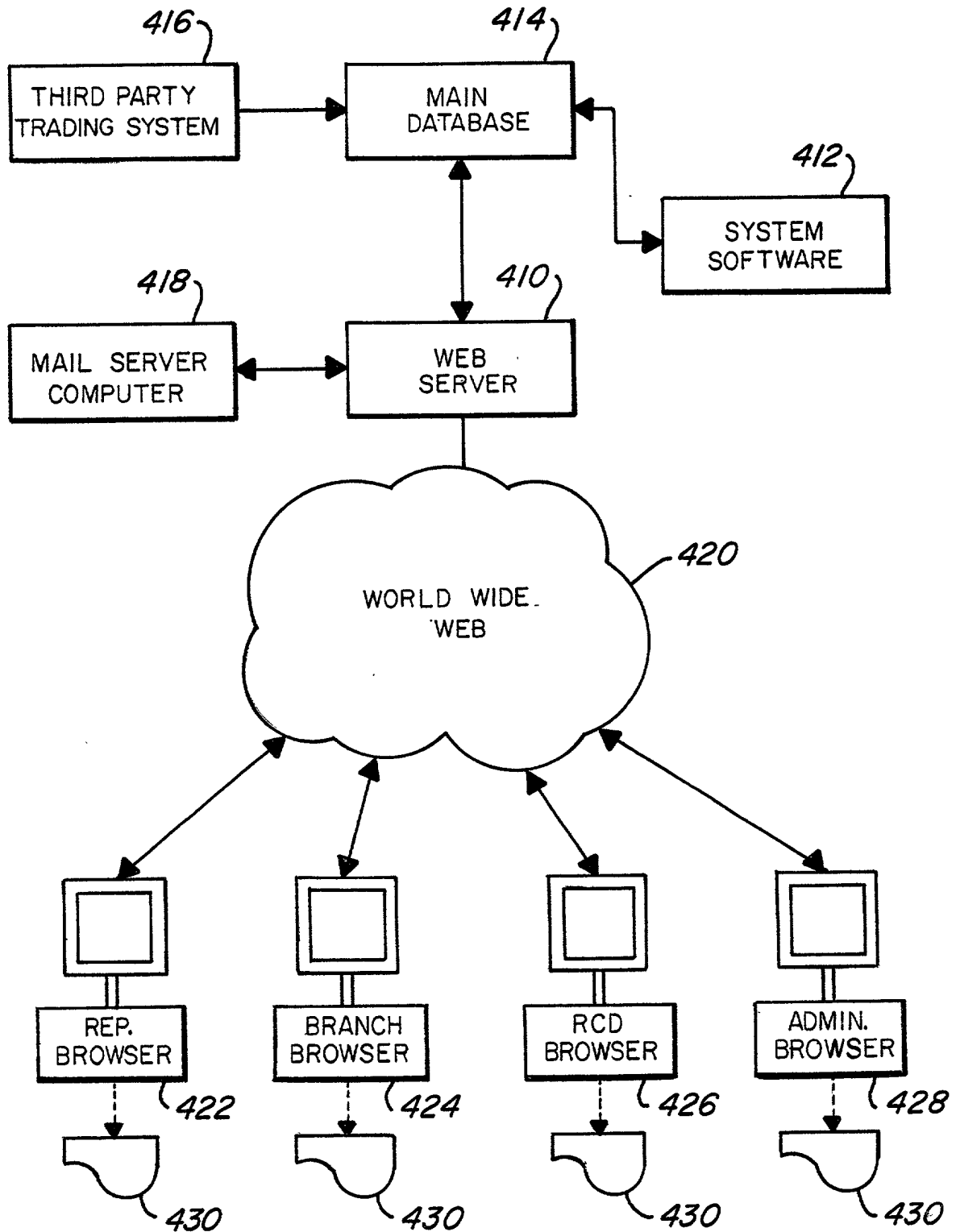
FIGURE 59

FIG. 60



Fig_60

FIG. 60



Fig_60

Please enter your User ID and Password:

User ID:

432

436

Password:

434

Submit

Figure 61

40750-9265300

[Quick Start for Reps](#)[BrokerBooks Help](#)

You have 15 declined transactions

Transactions:

Messages:

[Stock](#)[Bond](#)[Option](#)[Mutual Fund](#)[Variable](#)[Browse Transactions](#)

Profiles:

[Client Profile - Individual](#)[Client Profile - Corporate](#)[Client Profile - Trust](#)[Client Profile - UTA/UGMA](#)[Representative Profile](#)[Product Name](#)[Account Type](#)[User Profile](#)[Browse Client Profiles](#)[Browse Rep Profiles](#)[Browse Products](#)[Browse Accounts](#)[Browse User Profiles](#)

Trade Blotters:

[Daily Trade Blotter](#)[Checks/Securities Blotter](#)[Buy & Sell Tickets](#)[Client Activity Log](#)[Security Activity Log](#)

Figure 62

1-8 of 329 records
 You have 15 declined transactions
 To sort click on column header

Client Name	Client Account Number	Transaction Date/Time	Rep. Name	Transaction Option	Product	Status	View/Edit
LaFore, David W	100	02/04/2123 01:12 pm	Brennan, Kyle	Stocks	International Bead Makers	Appr.	View/Edit
Adrian, Sharon		03/30/2002 12:00 pm	Brennan, Kyle	Mutual Funds	Mutual Fund MX1	Pend.	View/Edit
Abbott, Jake		03/30/2001 03:50 pm	McConnell, Steve	Mutual Funds	Mutual Fund MX1	Pend.	View/Edit
Abbott, Jake		03/30/2001 12:00 pm	McConnell, Steve	Mutual Funds	Mutual Fund MX1	Pend.	View/Edit
Abbott, Jake		03/30/2001 12:00 pm	McConnell, Steve	Mutual Funds	Mutual Fund MX1	Pend.	View/Edit
Adrian, Sharon		03/30/2001 12:00 pm	Brennan, Kyle	Mutual Funds	Mutual Fund MX1	Pend.	View/Edit
Greene, Ken	2	03/28/2001 12:00 pm	Brennan, Kyle	Mutual Funds	Mutual Fund MX1	Pend.	View/Edit
Greene, Ken	2	03/28/2001 12:00 pm	Brennan, Kyle	Mutual Funds	Mutual Fund MX1	Pend.	View/Edit

Page 1 2 3 4 5 6 7 8 9 10 11 12 13 14 15 16 17 18 19 20 21 22 23 24 25 26 27 28 29 30 31 32 33 34 35 36 37 38 39 40 41 42

Next

Bottom

New Transaction

☐ Approved Only ☐ Declined Only ☐ Pending Only ☒ All

Search by:

☒ Client Name

☐ Product Name

String for search:

Date from:

Date through:

All Records

Search

Figure 63

1- 8 of 88 records
To sort click on column header

Client Name	Client Type	Creation Date	
Aardith, Michael	Individual	11/07/2000	Edit/Delete
Abbott, Jake	Individual	10/09/2000	Edit/Delete
Acme Corp	Corporate	06/29/2000	Edit/Delete
Adams, Joe	UTA/UGMA	06/29/2000	Edit/Delete
Adrian, Sharon	Individual	11/01/2000	Edit/Delete
Adrian, Sharon	Individual	11/01/2000	Edit/Delete
Ammon, Christopher P	Individual	09/28/2000	Edit/Delete
Anderson, Jane	UTA/UGMA	06/27/2000	Edit/Delete

Page 1 2 3 4 5 6 7 8 9 10 11

Next

Bottom

New Client

Search by Client Name

All Records

String for search:


Search

Select Different Profile

Figure 64

FOOTNOTES

Daily Trade Blotter

Select Different Blotter 

beginning Transaction date in format MM/DD/YYYY ending Transaction date in format MM/DD/YYYY

Run report for / / through / /

478 → 480 482 484

Print

View

Reset

To return to this page from the report click the "Cancel" or "Back" button on the report page

Figure 65

201501051500

USER PROFILE

[Browse User Profiles](#)[New User Profile](#)[Select Different Profile](#)

Fields marked with * must be filled in:

User ID

Password

Re-enter Password to confirm

Last Name

First Name

Middle Name

User Level (check all that apply)

CO

New Branch

Branch Manager

Representative

New Rep

User Access Rights (check all that apply)

☐ Rep. Profile Updates☐ Product Types Updates☐ Account Types Updates☐ User Profile Updates

☒ Select Branches
(To select more than one Branch, use Ctrl or Shift buttons)☐ Select a Branch☒ Select Representatives (To select more than one Rep. use Ctrl or Shift buttons)Select by Rep. ID
2229
2564SV
4304
44002229, 2564SV, 4304☐ Update Stocks, Bonds and Options products ONLY
☐ Update all product types (including Mutual Funds and Variables)☐ ☐

Submit

Reset

Delete Profile

Figure 66